

RECEIVED
CENTRAL FAX CENTER

MAY 12 2005

NEW YORK, NY 10036-8299
Telephone 212.969.3000
Fax 212.969.2900

LOS ANGELES
WASHINGTON
BOCA RATON
NEWARK
NEW ORLEANS
PARIS

PROSKAUER ROSE LLP

Date May 12, 2005 Client-Matter 74622-007

Total Pages (Including Cover) 3

Fax Transmittal

From John C. Stellabotte

Sender's Voice Number 212.969.3413

Sender's Room Number 17-44

Sender's Email Address jstellabotte@proskauer.com

Main Fax Number 212.969.2900

To: Examiner: John W. Hayes

Fax No.: 703.872.9306

Company: United States Patent and Trademark Office - Group Art Unit 3621

VOICE NO.: 703.306.5447

Message

Re: Inventor : Phillip Koh-Kwe Hsu
Serial No. : 09/685,924
Filing Date : October 10, 2000
Title : INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION
Att'y Docket : 74622-007

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

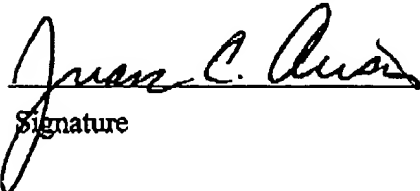
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

FACSIMILE TRANSMISSION CERTIFICATE

I hereby certify that these papers containing facsimile transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias

Name of person signing the certification



Signature

May 12, 2005

Date

Confidentiality Note: This message is confidential and intended only for the use of the addressee(s) named above. It may contain legally privileged material. Dissemination, distribution or copying of this message, other than by such addressee(s), is strictly prohibited. If you have received this message in error, please immediately notify us by telephone and return the original to us at the address above. We will reimburse you for the cost of the telephone call and postage. Thank you.

BEST AVAILABLE COPY

**RECEIVED
CENTRAL FAX CENTER**

MAY 12 2005

PTO/SB/61 (09-04)

Approved for use through 11/30/2005. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<p align="center">POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</p>	Application Number	09/685,024
	Filing Date	October 10, 2000
	First Named Inventor	Phillip Koh-Kwo Hsu
	Title	INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION
	Art Unit	3621
	Examiner Name	John W. Hayes
	Attorney Docket Number	74822-007

I hereby appoint:

☒ Practitioners associated with the Customer Number:

21890

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

21890

☐ Firm or Individual Name

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature

Date

Name

Gregg I. Goldman

Telephone

203.719.3099

Title and Company

Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

PTO/SB/86 (08-04)

Approved for use through 07/31/2006, OMB 0851-0031

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Phillip Koh-Kwe HsuApplication No./Patent No.: 09/685,924 Filed/Issue Date: October 10, 2000Entitled: **INTRANET SYSTEM FOR A FINANCIAL SERVICES CORPORATION**

UBS Financial Services, Inc., a Corporation
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
 2. ☐ an assignee of less than the entire right, title and interest.
 The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Phillip Koh Kwe Hsu To: Painewebber Incorporated
 The document was recorded in the United States Patent and Trademark Office at
 Reel 011222, Frame 0291, or for which a copy thereof is attached.
2. From: Painewebber Incorporated To: UBS Painewebber Incorporated
 The document was recorded in the United States Patent and Trademark Office at
 Reel 012259, Frame 0667, or for which a copy thereof is attached.
3. From: UBS Painewebber, Inc. To: UBS Financial Services, Inc.
 The document was recorded in the United States Patent and Trademark Office at
 Reel 014467, Frame 0783, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Gregg I. Goldman 5/12/05
 Signature Date
Gregg I. Goldman 203.719.3099
 Printed or Typed Name Telephone Number
Director and Senior Counsel, Technology and
Intellectual Property, UBS AG, Stamford Branch
 Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.